

Interpretation Problems of Ornament Symbols and Two Recent Case Histories: Hans Klotz on Bach, Faye Ferguson on Mozart

Frederick Neumann

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Neumann, Frederick (1988) "Interpretation Problems of Ornament Symbols and Two Recent Case Histories: Hans Klotz on Bach, Faye Ferguson on Mozart," *Performance Practice Review*: Vol. 1: No. 1, Article 7. DOI: 10.5642/perfpr.198801.01.7
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cramping, and in our case a degree of such cramping did not allow enough space for the second turn symbol to be clearly written between the dot and the following 32d-note. I believe the meaning of a "turn after the note" is incontestable and I proposed the solution given in Ex. 8a.

Ferguson disagrees: "... Neumann falls into error by taking Mozart's notation too literally." Here she obviously admits that "literally" my reading of the notation is correct. But she adds: "While he is aware that Mozart often placed his dynamic marks slightly ahead of the note to which they should first apply, he seems to be unaware that Mozart often did the same with his signs for turns, trills, and mordents." I am very definitely unaware of what simply did not exist. As to the mordent symbol, Mozart did not use it; as to the trill sign and those turn symbols that were meant to be placed above or below a note, Mozart wrote them overwhelmingly, say in 99 out of 100 cases, straight where they belong, though naturally, in fast writing small inaccuracies occur once in a while.¹⁶ There is no analogy to the dynamic marks that are often written slightly ahead, because Mozart wrote them mostly, as the ductus of his pen indicates, before he wrote the note to which they belonged, whereas he wrote the trill and turn signs for rather obvious reasons after the principal note was already on paper.

For her reading of the two turns, which Ferguson insists belong on top of the first 32d-note, she turns to Türk for support and proposes the solution of Ex. 8b.

Ex. 8.

a. FN

b. FF

c. FF corrected



16. In support of her claim of Mozart's anticipative notation of turn, trill, and mordent(!) symbols Ferguson asserts that in the first Allegro of the Violin Sonata in G K379 (373a) "at least one-third of the turn symbols well precede the note they are intended to embellish." This simply is not so. Of the sixteen turns in this movement not a single one "precedes" — let alone "well" — the note head to which it belongs in the way the symbol of the first turn in Ex. 7 lies in its totality to the left of the note head. Fourteen of the sixteen symbols are where they belong and only two are somewhat shifted to the left while still clearly overlapping with the note head. Most importantly, in neither of these two cases can there be the slightest ambiguity about the symbol's meaning: both times it is under a note (the first note of the theme) that is preceded by rests.

Now even *if* the symbols belonged, as she decrees they do, above the first of the 32d-notes, and even *if* Türk's rule were applicable — two fictional assumptions — her solution would be wrong and ought to read as shown in Ex. 8c, because surely the turn must not infringe the value of the preceding dotted 8th-note; to do so would be the privilege only of a turn *after the (dotted 8th-) note*, the reading rejected by Ferguson. The corrected solution à la Türk-Ferguson, with its frantic 128th-notes would sound not like an ornament, but recall a nervous tic. Viewed from every angle the picture is the same: the Ferguson solution is indefensible.

Ferguson's next argument is still more curious. In Ex. 9 from the G major Piano Concerto K453 she quotes me as recommending a fairly precise 16th-note length for the downward leaping appoggiatura.

Ex. 9. K453/2



Ferguson determines that the appoggiatura should have an exact 8th-note length. This is surprising since it conflicts with both her previous ideas and with her revered "theorists." Before, in her memorable "ä" and "eu" argument she had pleaded for literal interpretation of the *Vorschlag* symbols, which would in this case support my suggestion of an approximate 16th-note length. By contrast, according to the "theorists," it ought to be a quarter-note (the one-half of a binary note rule). Her argument for the 8th-note is highly original and runs like this. The first measure starts with a quarter-note, the second with a dotted eighth, therefore the third (with the appoggiatura) ought to start with an eighth-note to make for a logical sequence. She seems to refer to a so far unknown law of regularly diminishing note values: a correlation between a straight-line mathematical progression and melodic beauty. Even if such a law existed it would not apply to our example: the first quarter-note is *nominally* longer than the dotted eighth that starts the second measure, but actually it is not. Being a detached note, its length is indetermined and lies most likely between an eighth and a dotted eighth; and whatever its exact length, the listener will perceive the first note of the second measure as being longer because of its melodic emphasis, at

the height of a spontaneous, if subtle, crescendo, and because of its legato connection with its short companion that is a *Nachschlag* (type of *anticipazione della nota*) and as such should be rendered lightly and somewhat shorter than its written value. These considerations alone destroy the argument along with the neat mathematical progression.

That is not all. Of all the possible alternatives for the length of the falling appoggiatura, an exact 8th-note is the least satisfactory: the squareness with which the principal note coincides with the start of the accompaniment is singularly stiff and unattractive.

Furthermore, had an exact 8th-note value been of importance to Mozart, he would have specified it, since the prospect was minimal that a performer would so interpret the 16th-note symbol. Again, as viewed from various angles, Ferguson's theory may be original but it makes no sense.

Ferguson's pursuit of mathematical orderliness has tripped her up also in the last of her exhibits. It presents a passage from the second movement of the F major Piano Concerto K459. It starts with woodwinds alone, mm. 66-70, in a witty descending passage where each group of three identical notes is preceded by a *Vorschlag*, its start given in Ex. 10a. While this sequential figure is taken over by the strings, the solo piano winds around them gracefully, as if decking them with garlands (Ex. 10b).

Ex. 10. K459/2

a.

Fl. 66

Ob. I, II

Bssn. I, II

p

b.

70

Pianoforte

Vn. I

Vn. II

Vla.

Vc., Bass

p

p

p

p

Ex. 10. b. (continued)

In their edition of the work for the *NMA* Eva and Paul Badura-Skoda have suggested grace-note (i.e. unaccented prebeat) rendition of the *Vorschlag* symbols. I wholeheartedly agreed because there are several reasons (to be listed presently) that more than suggest, that urge, such a solution. Yet Ferguson disagrees: she wants all the symbols resolved as 16th-note, on-the-beat appoggiaturas, so as to have the first violins coincide with the series of written-out piano appoggiaturas and their resolutions. This seems very neat and orderly. Besides, Ferguson objects to parallel seconds and sevenths and, supposedly, even one solitary fifth (I have not discovered it yet) that would result from grace-note rendition. Also, her "ear" decides in favor of the appoggiatura solution.

First, there is nothing wrong with parallel seconds and sevenths and nothing even with a parallel fifth, if it cannot be heard. As mentioned before, theorists as far back as Finck and Ortiz in the mid-16th century found parallels created by ornamentation acceptable if they passed so quickly as to be de facto inaudible, and theorists of the 17th and 18th centuries made the distinction between "eye fifths" and "ear fifths" of

which only the latter had to be avoided. If I should find the guilty fifth, it is certain to be an "eye fifth" since I have gratifyingly heard the passage performed with grace notes and in the process received no parallel shock.

Ferguson's appoggiatura solution deprives the passage of its Mozartian sparkle and humor in favor of a plodding, philistine version that is in the true spirit of Türk. It further deprives the passage of the "garland" effect in favor of some rather unpleasant "ear unisons."

In my book I have pointed out, and given reasons, why *Vorschläge* before groups of two, three, or more even notes have the strong presumption of grace note meaning. This being the case, Mozart would have run a grave risk of such interpretation had he, as Ferguson believes, intended appoggiatura treatment. He writes with total consistency, about 120 times the *Vorschlag* as 16th-note symbol; not once did he write it out as he did for the piano part. This sharp contrast alone suggests different intent, and the more so, as Mozart often writes in cases of appoggiaturas a symbol for the soloist, regular notes for the shadowing instruments, but *never* the reverse. All considered, Ferguson's elaborately presented solution has neither theoretical merit with regard to notation, nor musical merit with regard to character and spirit of the passage; her objections to voice leading are illusory, while her version is flawed in this very respect. There is no musically reasonable alternative to the Badura-Skoda solution.

This completes the full account of Ferguson's exhibits. The lessons to be learned from them are as varied as are her freewheeling arguments. In part they reinforce the lesson learned from Klotz about "applying" ornament tables. If, as was shown, it was often improper to "apply" even Bach's own ornament table to some of his symbols, how much more dangerous is it to "apply" C.P.E. Bach and Türk to Mozart. The danger is magnified if, as happened to Ferguson, one confuses the rules and refers to two contrasting ones as if they were one and the same.

We learn that it is dangerous, if, according to what fits best one's ideas, one follows certain theorists here, ignores them there; if one insists on the literal meaning of *Vorschlag* denominations here, but rejects them there; if one interprets a graphic sign (the turn symbol) not by what it clearly says but by what one would like it to say, claiming à la Klotz, that Mozart made a mistake; then trying to explain what would be a gross notational irregularity with first a false analogy (dynamic marks), then with a misstatement of fact (the alleged high incidence of such

irregularities). And where such devices do not suffice, simply invent laws whose only purpose is to provide a — fictional — underpinning to the proclaimed solution (synchronism between voice and accompaniment, the mathematical progression of initial note values). The greatest danger of all that seems to have bedeviled the whole undertaking is to first postulate the answers, then to search for anything that would seem to give them support. It is reminiscent of Alice's court case: "verdict first, trial later" — an idea delightful in Wonderland but disastrous in a scholarly enterprise.

A Scholar's Response to Two Critics

Interpretation Problems of Ornament Symbols and Two Recent Case Histories: Hans Klotz on Bach, Faye Ferguson on Mozart

Frederick Neumann

Among the many problems of performance practice for music of the 17th and 18th centuries ornamentation has always been, and continues to be one of the greatest challenges to musicians and scholars. It looms so large because it played such a huge and controversial role in that era. Though its role hardly dwindled after 1800, its problems — still considerable with Beethoven and Schubert — gradually diminished with the demise of improvisation, the decreasing use of symbols, and the ever greater specificity of notation.

Notation is at the root of the difficulties we encounter here as it is at the root of all problems of performance practice. They all can indeed be identified with those elements of execution that are not or only inadequately expressed in the score.

Ornaments, which I am addressing here, were reflected in notation in three manners: they were either (1) indicated by symbols or (2) written out in regular notes, or (3) not notated at all. To these three alternatives corresponded three distinct types of performance problems. (1) For the symbols the problem is their proper interpretation. (2) For ornaments written out in regular notes, the problem is to identify certain such notes

as ornamental and to render them accordingly with greater lightness and a measure of improvisatory freedom. (3) For ornaments not written at all, the problem is the double one, first to determine where additional embellishment is needed, second to devise an appropriate design.

The interpretation of the symbols has been the subject of the widest discussions in the literature old and modern. It is to this matter that the present article is addressed.

All ornaments are born of improvisation and as such they were born free, yet many modern writers endeavored to deprive them of their freedom and put them into narrow cages. One is tempted to paraphrase Rousseau's famous opening sentence of his *Contrat social*: "Man is born free, and everywhere he is in chains" ("L'homme est né libre, et partout il est dans les fers") and substitute "ornament" for "man."

The emergence of symbols

The first ornaments were presumably pitches a singer added to the melody of a song so that he sang two or more pitches to one syllable, forming a melisma. To do so must respond to a fundamental human urge of embellishing what is simple and severe, because we find it at all times in all cultures. Such ornamentation was "melodic" in the sense that pitches were added *between* the regular, or structural, notes of the song. The original melody remained intact and in place and the embellishments wound around it like a garland between columns. This type of ornamentation remained alive to the present, except that its notation changed. Today such ornaments in art music are written out by the composer in either regular or in small notes. Until nearly the end of the 18th century the improvisatory origin of these embellishments was made manifest when many of these melismatic ornaments (called *passaggi* or *coloraturas*) were not specified by the composer, but left to the impromptu skills of the performer. By then the era of free improvisation was drawing to a close and the music of Haydn and Mozart, except for *Eingänge* and *cadenzas*, left hardly any room for improvisation. They wrote out their *passaggi* and so did all the later masters.

Up to about 1600 all ornaments were of this "melodic" kind; they decorated and enlivened the melody, but did not have any effect on the harmony. By the turn of the century, with the emergence of recitative, monody, and the concomitant striving for passionate expression, musicians seemed to have first seized on the potential of ornamental

additions to create expressive dissonances: they displaced a note on a strong beat with another a step above or below, forming an *appoggiatura* that created a sigh effect with its resolution to the delayed principal note. Thus was born the first "harmonic" ornament. At first used only sporadically, it gradually found its favorite niche, preceding a final cadential trill. Even there it was far from holding a monopoly, and elsewhere "melodic" one-note graces that anticipated the beat, leaving the principal note in place, continued to flourish in Italy, Germany, and France and kept doing so to the present.

Meanwhile some ornamental figures from one to three or four pitches — few enough to allow only limited modes of arrangement — were used often enough to allow their being grouped into formulas. These formulas in turn lend themselves to be represented by the shorthand device of a symbol. Symbols as such are age-old and go back to ornamental neumes in the early Middle Ages but the direct ancestry of the baroque ornaments and their symbols might go no further back than the early 16th century to symbols for trills, such as Vincenzo Capirola's red dots (1517) or Silvestro Ganassi's letters "V" and "S" for the whole-tone and half-tone trill respectively (1535). The first rich flourishing of symbols occurred at the hand of the French lutenists, English virginalists and gambists. When the French clavecinists in mid-17th century took over the inheritance of the passing lute school, it was they who developed ornamental symbols to a high degree of refinement and sophistication. Their growing numbers created problems for the performers, who could not guess any more what the various signs meant, and needed an explanation. Thus were born the first ornament tables and with them came into being the most fatal source of misconceptions as formed by modern ornament theory and practice.

The role of ornament tables.

Ornaments small enough (in the sense of number of pitches involved) to allow symbolization, have lost some of the near-total freedom still enjoyed by the lengthy *passaggi* or coloraturas, yet, in spite of having been somewhat disciplined, tamed and domesticated, retained enough of their innate freedom to fulfill the function that ornament is to play within a musical work. This function in music is to provide variety, to add grace and elegance, to soften hardness, to round angularity, to smooth, to liquefy. In order to do so they need to be rendered with flexibility and a touch of improvisatory freedom. It is most emphatically not the function of ornament to harden, to stiffen, to regularize the musical texture. An ornament that is rendered with military drill precision is a contradiction

in terms. Yet this is exactly what has been happening under the banner of would-be "authentic" performances and it has been happening through the unlikely medium of ornament tables.

An ornament is like an organic substance and as such is in constant flux. It has no rigid shape, and cannot have one if it is to do its work. Regular notes cannot do justice to the irregularity of a specific ornament in a specific context, because notation is too rigid with its mathematical ratios while the ornamental irregularities are too subtle and intangible to be rendered in such fixed terms. A symbol, on the other hand, is not only a convenient shorthand device, but is actually a superior notational device because it does not bind the ornament to exact ratios and allows it to assume, however subtly, ever differing shapes. But how is the symbol to be explained to the uninitiated? The only way to do so is by offering an abstraction of the design, a reduction to its common denominator, to its Platonic idea as it were, that has countless diverging manifestations in reality. In turning to ornament tables for their answers, modern scholars and performers generally make two fatal mistakes. The first is that of misunderstanding the abstract nature of their design and taking the models on their literal, mathematical face value every time the symbol appears. As a consequence, they use them like prefabricated spare parts mechanically inserted. The result is the kind of machine-like ornament rendition that, in total contradiction to nature and function of ornament, petrifies the musical texture and guarantees monotony through exact repetitions. The French organist and scholar Antoine Geoffroy-Dechaume has hit on a felicitous formulation when he spoke of the "inanity of ornament tables" ("l' inanité des tables") that offer only a single transcription of any ornament while each is capable of a great variety of execution.¹ Ornament tables themselves are not the culprits; they were often written by eminent musicians and are an indispensable means of explaining the basic design of an ornament. The culprits are those modern scholars and musicians who misinterpret them by not realizing that the abstract idea has to be in each case adapted to an ever changing environment while permitting the ornament to live, breathe, and change.

The second fatal mistake is the casual, unthinking, near-automatic way in which ornament tables by one master are "applied" to another who may be separated by time, style, region, nationality. The would-be rationale for such action is a widespread belief in a "common practice" for an age, even for a whole century, spanning all nationalities. It is a very convenient theory, because it yields all the answers, but the theory is

1. "L'appoggiature ancienne." In *L'interprétation de la musique française aux XVIIème et XVIIIème siècles*. Paris, 1974.

fiction and therefore most of the answers are wrong. The very idea that, say, Bach performed in the same manner as Couperin or as Pergolesi, or Mozart in the manner of C.P.E. Bach, is almost on the face of it incongruous. It is bad enough to insist on applying with pedantic rigidity Bach's own brief ornament table, written as a child's introduction for the nine year old Wilhelm Friedemann, while not realizing that Bach's infinite variety of melodic designs had its counterpart in a comparable richness of ornamental designs. But to take somebody else's patterns, be it Philipp Emanuel, or Couperin or whoever, is a reckless gamble at best.

A strong sense that something had gone radically wrong with the modern "authentic" ornament interpretation prompted me, a quarter century ago, to enter the field myself. I trust that several articles and two major books² made a strong case for the need of a thorough revision of ornamentation theory and practice. The most urgent need is to abandon the fundamentalist approach of going strictly by the book, of believing in *the literal truth of every model in an ornament table and every rule in a tract*. Theorists and tables need to be studied and considered, but the tables have to be understood as the abstractions they are, and rules have to be viewed as generalities with numerous exceptions; also both tables and tracts have to be most carefully screened as to their probable or improbable pertinence in a specific case. Most importantly, further insight is to be sought from the study of the music itself, which can yield important clues when properly analyzed. A systematic search for such evidence has already yielded a great deal of information that differs strongly from the inferences drawn from "the book" and proves that ornamentation during both the 17th and 18th centuries was much more flexible and varied than the fundamentalist scholars of the Establishment believe to be the case.

Any major revision of a well established idea or method has always, and will always meet with fierce resistance, the force of inertia being more powerful than any force of persuasion. Thus it might take a generation before the case for revision can get a sympathetic hearing. Meanwhile scholars and historically oriented performers continue in the old vein of relying on ornament tables, which they apply in the time-honored, automatic "spare part" fashion.

That such is the case can be heard in many performances and can be seen in several recent publications. The following two case histories are

2. *Ornamentation in Baroque and Post-baroque Music: with Special Emphasis on J.S. Bach*, Princeton: Princeton Univ. Press, 1978 (hereafter: *Ornamentation*); *Ornamentation and Improvisation in Mozart*, Princeton: Princeton Univ. Press, 1986.

meant to illustrate this state of affairs with regard to scholarship. The first concerns an extensive monograph on Bach's ornamentation by Hans Klotz, the second refers to a review by Faye Ferguson in *Mozart Jahrbuch* 1986 of my recent book on Mozart's Ornamentation and Improvisation.

Case History 1: Hans Klotz on Bach

Hans Klotz, a composer of choral music, author of several books and numerous articles on organ playing, including a monograph on Bach's organ works, and collaborator on the *Neue Bach Ausgabe*, published in 1984 *Die Ornamentik der Klavier- und Orgelwerke von Johann Sebastian Bach*, a substantial book of 219 pages (Kassel: Bärenreiter, 1984). After previous writers, among them Putnam Aldrich and Robert Donington, imposed bonds of rigorism on Bach's keyboard ornaments, Klotz topped their efforts by consummating their ossification. This is strange if we consider that Klotz wrote one splendid paragraph about the freedom of ornaments, a freedom that defies rational fixation. "Ornaments" he writes, "are free-floating configurations ("freischwebende Gebilde"), which move within the meter of the principal notes, without changing it, yet are free from its laws. The real value of the ornamental notes is irrational, their rhythm incommensurable with our system of notation" (pp. 37-38). To this I can only say "amen." Unfortunately, this well-conceived credo remains suspended in a vacuum: the rest of the book cancels this declaration of freedom for ornaments with an incessant flow of dicta that establish for every single ornament rigid, ironclad rules. The "free-floating" ornaments, far from being allowed to float, are in the end nailed to the ground.

My *Ornamentation* attempted to dismantle the cages that modern scholarship had erected for the imprisonment of ornaments and did so by mustering a huge amount of evidence, theoretical as well as musical, pointing to a far greater freedom of ornament rendition than modern scholars have so far conceded. I do believe I can say without undue arrogance that anybody writing on ornaments in the period covered by my book (ca. 1600-1770) ought to come to terms with the evidence presented in it. I realize there are language barriers, but Klotz did read Putnam Aldrich in whom he found a kindred spirit. He mentions my book in one paragraph (on p. 94) in which he cites *one* example of mine, but keeps total silence about its massive documentation that undermines his every premise and his every thesis. I refuse to believe that he wished to bypass my documentation and reasoning by simply ignoring it. I can only assume that in writing his book he did not know mine and became

aware of its existence too late for more than a cursory, last-minute mention.

The Klotz book has some unquestionable assets. One or the other ornament, for instance the turn, is well presented. Interesting as documentation is the presentation of twelve ornament tables in facsimile. But all in all the book is severely flawed in its structure: it is flawed in its basic theses and flawed in its method.

At the very outset (p. 2) Klotz presents his theses:

1. Bach's ornamentation is characterized by (a) the principle of the neighbor note ("Nebentonprinzip"), (b) the on-the-beat principle ("Initialcharacter"), (c) the dissonance, and (d) the *détaché*.
2. Bach's [symbol-indicated] ornamentation is unequivocally and unconfutably distinguished from improvised ornamentation.
3. Bach's keyboard ornamentation is identical with that of the French keyboard players.

All three of these theses are untenable.

Ad 1.: a) The *principle of the neighbor note* is at best an exaggeration as it seems obviously meant to apply to the *Vorschlag*, the trill, the turn. It clearly does not apply to the mordent, the slide, the arpeggio.

b) The *onbeat principle* requires that every ornament start exactly on the beat. Here Klotz, as others had done before, clamps down the iron gate of the "cage" that guarantees the regimentation of ornaments. Such a principle cannot be reconciled with Klotz's characterization of ornaments as "freefloating configurations" that are not bound by the meter. There is no greater bondage to the meter than being forcefully tied to each beat.

Now it is true that certain ornaments have to fall on the beat, but many others do not; some may take the beat when it is musically appropriate and avoid it otherwise; some again must shun the beat. A genuine appoggiatura has to fall on the beat because it forms a dissonance that needs the beat for emphasis before it is resolved. But there is no such need for any other ornament: not for a *Vorschlag* that is not an appoggiatura, that does not form a dissonance and is not intended to be stressed; not for the trill, unless it is linked to an appoggiatura; not for the mordent, unless its principal function is to reinforce the meter; not

for the slide that can fall on, before or between the beat; not for the turn, not for an arpeggio that is logically anticipated when, as is mostly the case, the melody note is at its end rather than at its start.

The onbeat principle is of course not new: it is the Establishment doctrine, widely believed and widely practiced. Klotz simply reconfirmed and fortified its orthodoxy. Where did it come from? From ornament tables taken at face value. The tables, as said before, show the design of an ornament in abstract simplification within the space of the principal note, hence starting on the beat. Yet Klotz, further supplementing his fine statement about the "freefloating" ornaments, writes that "the old ornament tables render the ornamental designs metrically in gross simplification" ("...die alten Ornamenttafeln die Verzierungsformeln im Metrischen oft grob vereinfacht wiedergeben"), adding that the pertaining text often "strongly exaggerates their meaning" (p. 2). Moreover, Klotz approvingly cites Aldrich, saying that our ornament tables have to be understood in terms of melodic outline and not of metrical literalness (p. 75). Yet neither of the two scholars drew the proper inferences from these insights. Had they done so they would have realized that the downbeat start of the models might be precisely such a "gross simplification." Such realization would have cautioned them against elevating the onbeat start to a fundamental principle of ornament rendition and against committing, by this elevation what, with only moderate exaggeration, can be called the original sin of ornament performance practice.

c) *The dissonance principle.* Here Klotz has a point with the genuine appoggiatura and with the particular type of trill that has appoggiatura function, but other ornaments do not or do not have to form a dissonance: not a *Vorschlag* before a dissonant principal note, not a *Vorschlag* that is anticipated with purely connective function; not a trill whose function it is to add brilliance to a single note, or to keep the decaying sound of the harpsichord alive, or to reinforce and enliven the melody, not to enrich the harmony; not the mordent, not the turn before a dissonant note, not the turn after a note, not the slide, not the arpeggio, not a *Nachschlag*, that even Klotz admits does not take the beat and that, even if it happens to form a dissonance with the bass, is never perceived vertically as dissonance, always melodically as passing note or cambiata; not what I call a *Zwischenschlag*, a one-note grace that is slurred to both the preceding and the following note and belongs equally to both of them.

d) The *principle of detachment*. The note before an ornament, says Klotz, should be slightly shortened to permit the ornament to enter exactly on the beat. Again we have a vast overstatement. Certain ornaments, like the *Vorschlag* or the slide will occasionally be slightly detached from the preceding note to clarify their bond to their following principal one. But a trill is, more often than not slurred to the preceding note and so is the mordent; so are always the *Zwischenschlag*, and the *Nachschlag*. We shall see how the adherence to this principle can have regrettable musical results.

Ad 2. *The strict separation of symbolized and improvised ornaments*. This separation is important for Klotz who tries to maintain for Bach the integrity of the downbeat style by assigning any prebeat or interbeat ornamental forms to the realm of improvisation. The wall he erects between the two types is to ban any intercourse between them and to protect the symbol-indicated realm from being infected with subversive interbeat designs. Such a separation is arbitrary and unwarranted. It is unwarranted musically: there is no conceivable reason why any design that was acceptable as improvisation would not be acceptable as response to a symbol. The listener, after all, is unaware of the notation. The separation is unwarranted historically: no principles governed the choice of the three notational alternatives (written out, or symbolized, or omitted). Their selection was arbitrary and the relative incidence of these alternatives varied from nation to nation, from composer to composer, from work to work. Italians and all Germans who were indebted to the Italian style gave wide latitude to improvisation (Handel belonged in that group). French composers generally liked to keep a tighter control over their performers and were more explicit in using regular notes and symbols for their ornaments. Very few of their composers allowed no role for improvisation. Couperin was one of these very few; he marked all ornaments he desired and the great density of their occurrence leaves no room for sensible additions. In the Preface to his third book of clavecin pieces he specifically demands that all his symbols be honored, that no ornaments be left out, none added. His attitude is by no means typical: the eminent theorist Saint Lambert, writing in 1702, stresses complete freedom for the *agréments* (i.e. the small ornaments that *can* be indicated by symbols) by claiming for the performer the right not only to add new ones but to leave out those that are prescribed or to substitute others in their stead. There is no better proof for the free intermingling, even among French clavecinists, of symbolized and improvised ornaments, and for the illogic of the attempt to erect a wall between the two. As a further testimony to this state of affairs we find many French treatises throughout the whole of the 18th

century not only explaining the symbols and their execution, but also pointing to contexts in which certain ornaments could, or should or should not be added.



As to Bach, he did write out in regular notes nearly all of the *passaggi* that German and Italian contemporaries would have left to improvisation, and in his keyboard music he did mark many of his *agréments* with symbols, but we have no reason to assume with Klotz that Bach would have "strenuously objected" to any additional ornamentation of his music (p. 43). He himself has shown by adding ornaments to later versions of keyboard pieces (Inventions, Organ chorales) that the original version was receptive to further embellishment. And, considering the near universal inclination of the times to bring variety to a repeat, Bach almost certainly welcomed, and probably expected, on repeats in dance pieces discreet additions of ornaments. All in all, the "wall" is a fiction and any inferences drawn by Klotz from its existence for the execution of ornaments are fallacious.







Ad 3: "Bach's keyboard ornamentation is identical with that of the French."

Here again we have a bold assertion that does not stand up to scrutiny. First, there was no unified French keyboard ornamentation. Even their ornament tables with their "gross simplifications" do not agree. The tables of Nivers, Raison, D'Anglebert, Couperin certainly do not agree, and we have seen how diametrically opposed the opinions of Saint Lambert and Couperin are about the observance of the symbols. There are far wider differences if we consider musical evidence. Certainly, Bach studied French keyboard players: in his Arnstadt years, if not before, he copied D'Anglebert's ornament table, two Suites by Dieupart, an organ book by Grigny. And clearly he adopted several of D'Anglebert's symbols and basic designs. Yet D'Anglebert, in his music writes out several anticipated *ports de voix* in contradiction to his "grossly simplified" downbeat table models, and Grigny, in the very book that Bach had painstakingly and precisely copied, specifies a number of prebeat *Vorschläge*, anticipated trill auxiliaries and slides (by writing the little notes before the barline).

Now besides the French, Bach had studied German and Italian masters.³ He transcribed Vivaldi, Marcello, Palestrina, Pergolesi, Frescobaldi; he studied the music of Bruhns, Reinken, Froberger, Kerll, Pachelbel,

3. For a more detailed presentation of the formation and use of Bach's ornamental style see my *Ornamentation*, chapter 7.

Fischer, Strunck, Boehm, and spent many months in Lübeck to study Buxtehude's art at its source. He drank from whatever source he felt could benefit him. In adopting models that seemed worthwhile to him he did not proceed by accumulation and assembly into neatly separable units, as would befit an eclectic. Bach was no eclectic: he absorbed what he learned from the multinational models and assimilated it into a higher, uniquely Bachian entity. It is simplistic to think that his keyboard works are all in the French style and used only French ornamentation; are we then to assume that, say, his vocal works are in the German style, chamber music and concertos in the Italian and used only the respective national ornamentation? This is absurd on the face of it. Various strands of Bach's musical inheritance show up in all of his works, some more in certain kinds some more in others. Dense German polyphony and Italian concerto elements invade many a keyboard suite, we find French ornaments in very un-French organ chorales, Italian *passaggi* and trills everywhere. It is noteworthy that next to French symbols and designs, Bach used the Italian "t" symbol for the trill next to the French *chevron*  and the German *custos*  for the slide. Bach did not adopt D'Anglebert's symbols for the mordent, the slide, the various kinds of arpeggios.

Klotz is also wrong in saying that Bach addressed a public that was thoroughly acquainted with the [French] art of ornamentation and that it is "totally impossible to explain such behaviour [of addressing the informed public] other than that Bach identified with this art." (p. 12) The logic of this argument escapes me: even if the German public had been "thoroughly acquainted" with French ornamentation, Bach would not have been compelled to completely identify with the latter. Yet, the German public in the early part of the 18th century was far from thoroughly acquainted with French practices. In the early decades of the 18th century French — far from unified — ornamentation only gradually began to filter into Germany, and many eminent masters, among them Mattheson, the Grauns, Heinichen, Graupner, did not embrace it. It was indeed Bach himself who introduced some of D'Anglebert's symbols such as:    to which he added variants of his own design, like    that were not used by any Frenchman. It is questionable that they were understood by many of his German contemporaries. Any way we look at that argument it does not hold water.

In the hope that this brief sketch may have sufficed to show that and why all three of Klotz's principal propositions are untenable we next have to look at his treatment of some of the individual ornaments.

Klotz on individual ornaments

1. The *Vorschlag*

Vorschlag is the generic term for a one-note grace that precedes its principal note and is slurred to it. I call an "appoggiatura" the kind of *Vorschlag* that takes the beat, is emphasized, and typically forms a dissonance that is resolved in legato to its principal note. Klotz admits for Bach solely the appoggiatura, since, in accord with his basic principles, a *Vorschlag*, as any other ornament must fall on the beat. An anticipated *Vorschlag*, in his opinion, is illegal for Bach and therefore did not exist.⁴ The way he argues this case is characteristic also of many subsequent statements: any evidence that contradicts his thesis is either withheld, belittled, dismissed as belonging on the other side of the "wall," as "having nothing to do with Bach," or explained as an oversight or a mistake.

He reproduces correctly (pp. 82-83) the appoggiatura patterns of D'Anglebert, Le Roux, Dieupart, Rameau, but when he lists an identical pattern for Saint Lambert, he misleads the reader: Saint Lambert does show the pattern but does so in reporting the views of D'Anglebert, adding that these patterns may be fitting for *chansons* but only on few occasions for clavecin pieces; that for the latter anticipation is much more proper ("beaucoup plus convenable").⁵ Klotz mentions later this preference of Saint Lambert's, wrongly claiming that he uses a special symbol for the anticipated type, then dismissing it by saying that "both sign and execution have nothing to do with Bach's ornamentation." (p. 94). There is no special sign for the anticipated *port de voix*.⁶ That the execution has nothing to do with Bach is simply an arbitrary decree for which there can be no proof.

Saint Lambert does not stand alone among French masters. Klotz reproduces the ornament table of André Raison (1688), where the *only* pattern for the *port de voix* is anticipated, but fails to report on it when he lists the other French designs. Whereas Klotz reproduces in Table II

4. Klotz's thought process here and throughout the book is reminiscent of a satirical poem by Christian Morgenstern about a man who, hit on the head by a falling brick, concludes with logic "razor-sharp" that the accident did not happen, could not have happened, because it was illegal: "... denn, so schließt er messerscharf/ weil nicht sein kann, was nicht sein darf."


5. *Les principes du clavecin*, Paris, 1702, pp. 49-50.

6. There are special signs for two variants, the descending *port de voix appuyé* where the pitch of the grace is sounded three times (all in anticipation), and for the *demy port de voix* where it is sounded only once.

Nivers's rhythmically noncommittal trill and mordent designs (from the Preface to his *Livre d'Orgue* of 1665), he fails to report from the same document this master's anticipated *ports de voix* (see *Ornamentation* Ex. 10.6).

Had Klotz been acquainted with my book, he would have found a multitude of other French keyboard documents of anticipated *ports de voix* such as the table of the organist Chaumont (1696, my Ex. 10.7b), didactic illustrations by Gigault (1682 and 1685, my Exx. 10.8 and 10.9), documents by Grigny (from the organ book of 1699 copied by Bach, my Ex. 10.10), by Louis Marchand (Ex. 10.11) and many more from the whole of the 18th century in my chapters 9-12, too numerous to list here.

Klotz notes that Alfred Kreutz finds reason for the anticipation of Bach's *Vorschlag* in Saint Lambert, Loulié and Quantz,⁷ and tries to dismiss both Loulié and Quantz with his "wall" argument, claiming that both these authors referred to improvised graces that had "nothing to do with Bach" (pp. 92, 93). This is again a misstatement: both Loulié and Quantz refer to symbolized graces.⁸ And Quantz, who had both a French teacher, and had spent six months in Paris studying French music and performance practices, stresses the French origin of the anticipated *Vorschläge*.

It is in this connection that Klotz makes the single reference to my book: he quotes *one* example of mine (his p. 94), one of many that strongly suggest the anticipation of a *Vorschlag*. It shows eight instances in which scribes from Bach's circle (three of them written by his devoted and reliable student Gerber) set the hook symbol for the *Vorschlag* before the barline, even when there was plenty of space between the barline and the following principal note. It also shows three examples of such clear pre-bar placement of the hook symbol in autograph Suites by Gerber himself (my Ex. 16.11). First Klotz tries to downgrade this external evidence by claiming that my (printed) example was imprecise in reproducing the original. Now in the double hook symbol that Bach often used:  what matters is the lower hook that stands for the *Vorschlag*, not the upper one which stands for the slur. And in spite of unavoidable small imprecisions when irregular graphic designs are rendered in print, my lower hooks in the three instances Klotz

7. *Die Ornamentik in J.S. Bach's Klavierwerken*, Frankfurt, 1950; a fine brief study written as annex to the Peters Urtext edition of the English Suites.

8. Étienne Loulié, *Elements ou principes de musique*, Paris, 1696, p. 66; Johann Joachim Quantz, *Versuch einer Anweisung die Flöte traversière zu spielen*. Berlin, 1752, chap. 17, sec. 2, 20. See also my Exx. 9.19 and 12.25.

reproduces are quite precise, with one imprecision only for the irrelevant upper hook. Hence, this argument is invalid; the hooks in the other examples are precise enough to convey the intended evidence. Then Klotz admits that three *Vorschlag* symbols in a gigue *are* before the barline, and one astride the latter. Klotz simply blames the writer for carelessness. It was forbidden, therefore it had to be a mistake!

In addition to external evidence, by no means limited to the 14 specimens of my Ex. 16.11, I present a great deal of internal evidence of various kinds for anticipation of the *Vorschlag*. One kind is derived from spots where a downbeat rendition would result in offensive forbidden parallels. The role of parallels in ornament rendition has been controversial over the last centuries. Some authors of old diminution treatises (among them Ortiz, Ganassi, Finck) admitted parallels in *fast* diminutions where they could hardly be perceived, others admitted them in thickly set accompaniments (among them, Saint Lambert), others yet distinguished "ear fifths" from "eye fifths" with the clear meaning that only those parallels that are disturbing to the ear must be avoided. Others yet were adamant about the absolute prohibition (among them Werkmeister). Of 18th century theorists, C.P.E. Bach, Quantz, Agricola, Türk, stress the need to avoid parallels in ornaments. On one matter everybody is agreed, that parallels that are blatant and offensive are unacceptable. It so happens that Klotz himself unequivocally adopts the prohibition for Bach: "Bach" he writes, "respected the prohibition of fifths and octaves also in his ornamentation" (p. 190). How then does he explain the many instances where obtrusive parallels would result from the downbeat rule (I listed no less than 26 such instances in my Exx. 16.12-16.16, with no claim to completeness). Such instances, Klotz says, are simply "oversights" (p. 193), an explanation as convenient as it is unconvincing.

Here I shall present only one example (Ex. 1) whose eloquence singlehandedly shatters the downbeat-only rule for Bach's *Vorschläge*. It is a passage (and its parallel spot) from the *Art of Fugue* autograph, "Canon per augmentationem in contrario motu," where onbeat rendition would result in a series of offensive parallels. Here no less than six reasons make the anticipation of the *Vorschläge* imperative: 1) this is not a rough compositional draft, where oversights could occur (though hardly six times in a row), but a calligraphic fair copy; 2) we have to do with the supreme manifesto of voice leading, where any mistake has yet to be discovered; 3) it is a two-part setting that is the most sensitive to faulty counterpoint; 4) in such a two-part setting the repeated sounding of the open (parallel) octave is particularly offensive; 5) we have to do with *Vorschläge* before written-out appoggiaturas, the very case for which

Quantz with musical logic and common-sense requires anticipation (*Versuch* chap. 8, par. 6); 6) the *Vorschläge* are disregarded in the augmentation (mm. 48-51 and parallel spot), which proves that they are inconsequential to the melodic profile, hence have to be unobtrusive in the metrical shade of the measure.

Ex. 1. Bach BWV 1080.14 autograph



Concerning the real appoggiatura, I am glad to report that Klotz agrees with me about its basic shortness in Bach. Here his sole reliance on French designs kept him from following in the footsteps of most modern scholars, who "applied" to Bach with often lamentable results Philipp Emanuel's and his followers' *galant* long and overlong appoggiatura patterns.

2. The Trill

Klotz elevates the trill pattern in Bach's brief table (*Explication*, given in Ex. 2) to the guiding principle for all of that master's trills.

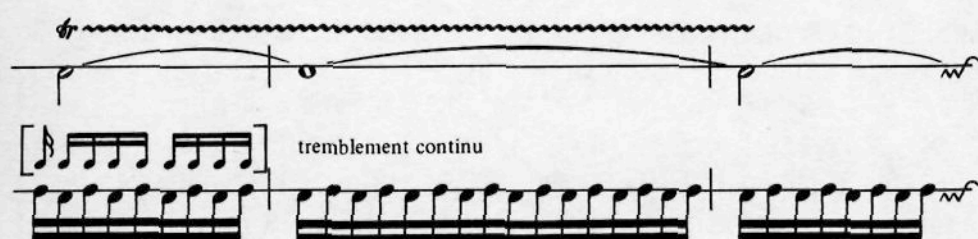
Ex. 2. Bach, *Explication*



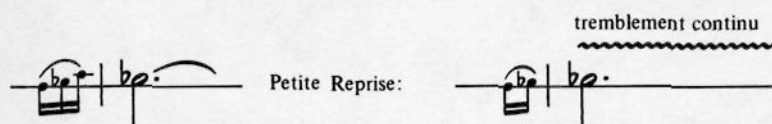
He dismisses Emery's and Kreutz's severe reservations about this table (my reservations he apparently has not seen) as being beside the point. On the contrary, the *Explication*, he says, is the most informative of all tables and offers us the proper solutions for all the listed situations. Thus Bach's trill "starts always with the auxiliary and stops after a few

repercussions, to end with the unadorned sound of the main note." (The start on the beat is for Klotz a matter of course, not worth mentioning.) Almost apologetically, Klotz points to the need to replace the 32d-notes of the model with 16ths in *alla breve*, and with 64ths in an *adagio* (p. 22). The only other — very minor — deviations from strict literalness that he allows are first, variants for the number of alternations: instead of the three in Bach's model, there can be two, four, or five (p. 65); second, for long trills, a gradual, imperceptible speeding of the alternations (following a quote from Couperin to that effect). These seem to be the only touches of non-literalness, the only faint echo of the idea of "freefloating" ornaments, in the whole book.

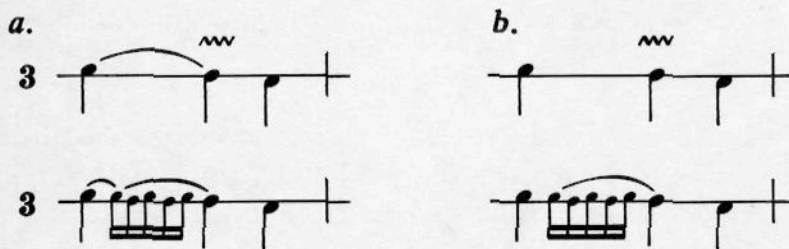
Again, the documentation meant to prove the upper-note-on-the-beat as sole design, is egregiously inadequate. It is rooted entirely in a number of table patterns (Chambonnières, Le Bègue, Raison, d'Anglebert, Le Roux, Saint Lambert, Rameau, Dieupart). Their number seems impressive, but here we certainly have to do with, in Klotz's above quoted words, "coarse metrical simplifications of ornament tables." Klotz must have forgotten his own words in extracting from these very tables the immutable rule about the onbeat start of the auxiliary. Yet even if we were to forget about the need to qualify the metrical disposition of the tables, they still are far from telling the whole story. What the agreement of the tables (including Bach's own) really show is the start with the auxiliary, the alternations, and the end with the main note, a melodic design that, in view of the "coarse metrical simplifications" can assume an infinity of rhythmic shapes, including the start with the auxiliary before the beat (a "grace note trill" in my terminology) and the partial or full anticipation of the whole trill. Klotz quotes several authors who stress the start with the auxiliary, but short of the Berlin school of C.P.E. Bach, Marpurg and their circle, where such a start is implied, he has not found a single French source that verbally specifies the start with the auxiliary on the beat. And that is more than coincidence. Whereas Couperin specifies for the extended mordent ("pincé continu") the start on the beat, he omits such mention for the extended trill ("tremblement continu"); and his pattern (its facsimile in Klotz Table XI; see also my Ex. 25.1) indicates the prebeat start of the auxiliary. In an exact metrical disposition the main note hits every beat, and the auxiliary is an extra note preceding the first onbeat main note:



This anticipated design is fully confirmed in a passage from the Allemande *La majestueuse*, where a dotted halfnote, preceded by an anticipated three-note turn figure written before the barline in little notes, is replaced on a *petite reprise* by a *tremblement continu* preceded by only two notes, because the third is the anticipated auxiliary of the trill:



Couperin's *tremblement lié sans être appuyé* (a) as well as his *tremblement détaché* (b) are fully anticipated, as any unprejudiced reader can infer from the painstakingly exact line-up in the model:



Such full anticipation is confirmed by Père Engramelle who spelled the anticipation out in regular notes.⁹

In addition I was able to trace a rich heritage of French main note and grace note trills from the early 17th century through the 18th. For the voice and melody instruments these designs were particularly widespread, but strongly touched the keyboard as well. My chapter 24 has many examples of vocal and instrumental main note and grace note trills side by side with trills starting with an *appoggiatura*. There the reader will find also specimens of grace note trills for the keyboard

9. Engramelle wrote the section on the mechanical organ in Bédos de Celle's *L'art du facteur d'orgues*, Paris, 1778. See Plates 106 and 107 for the anticipated patterns (my Ex. 25.10).

(Exx. 24.29 Chaumont; 24.30 Grigny; 24.32 J.B. Loeillet). In chapter 26 see among others the main note trills for the keyboard by Dandrieu (1724) and Van Helmont (1739) (Ex. 26.8), for the voice by Lacassagne (1766, Ex. 26.11), for the violin by L'Abbé le Fils (1761, also grace-note trills, Ex. 26.25) and Brijon (1780, Ex. 26.16), and too many others to enumerate here. But I believe to have made the point that Klotz's belief in French unanimity about the rigid auxiliary-on-the-beat start of every trill is a chimera.

If we add to this that the Italian trill was throughout the 18th century and beyond, overwhelmingly of the main note type (see my chapters 27 and 30) and so was well into Bach's time the German trill (see my chapters 28 and 31) then we have to conclude that the whole edifice of Klotz's monolithic Bach trill is based on nothing more solid than wishful thinking.

Klotz does show, though not in his trill chapter, Murschhauser's main note pattern of 1703 (p. 20) and dismisses it as following 16th century (!) Italian designs. Murschhauser was not alone. Praetorius in 1619, Bernhard around 1650, Mylius in 1685, Falck in 1688, Stierlein in 1695, Printz in 1696, Feyertag in 1695, Fuhrmann in 1706 and 1715, Beyer in 1705 and 1730 all show in their tables *exclusively* the main note trill.¹⁰ Surely these theorists were not all bogged down in 16th-century Italian procedures?

Klotz does show Buxtehude's and Lübeck's written-out main note trills (we can find many more with masters like Froberger, Kerll, Pachelbel, Boehm, Speth, Scherer and many others whose music Bach had studied) and mentions cases where Bach "in works of stylistic affinity to the north German masters" wrote similar patterns (p. 201) but dismisses this important evidence by peremptorily declaring that these trills "have nothing to do" with those that Bach indicates by symbols. Why? They are trills after all, are simply another manifestation of the manyfaceted trill idea that, weren't we told, is supposed to be "freefloating?" Those main note trills by German keyboard composers (derived from Italian masters like Frescobaldi) were written out not because they were another species of ornament, but simply to insure their proper length, whereas a symbol might have elicited only the briefest response. In order to defend his monolithic trill model, Klotz again erects a wall between written out and symbolized ornaments, as he had before between symbolized and improvised ones. This wall is no more real or

10. See *Ornamentation*, chapter 28, and Exx. 28.1, 2, 4, 5, 6, 7, 9, 10, 11, 12, 13, 14.

logical than the first; here too, the notational difference cannot be heard by the listener and what cannot be heard is musically irrelevant. Again Klotz fabricated a fiction in order to dismiss an inconvenient piece of evidence.

This piece of fiction does not go very far to protect the monopoly of Klotz's model. There is a great deal of evidence not only for Bach's use of the main note but of the grace-note trill and of full or partial anticipation. For this material I have to refer the reader to chapter 29 in my book.

In winding up the discussion of the trill, one illustration can show how literally Klotz applies the pattern from the table and how this intransigent literalness yields musically incongruous results. In the passage of Ex. 3a from the organ choral "O Mensch, bewein' dein Sünde gross" (from the *Orgelbüchlein*) Klotz gives the solution of 3b. Here the melody that is being ornamented is the soothing, caressing wavy line of Ex. 3c that cries out for *legatissimo* treatment.

Ex. 3. Bach, BWV 622

a. Adagio assai



b. Klotz



c.




Klotz certainly knew that Bach, as well as many other composers of the time, wrote hardly any articulation marks in his keyboard scores and that the lack of slur marks did not by itself imply detached articulation; he

must have further known that the first A-flat in the example is a written out appoggiatura that resolves its dissonance on the trilled G; and he knew that an appoggiatura by its nature has to be slurred to its note of resolution since he said so himself: "[Bach's *Vorschlag*] is played in the time of the principal note, more strongly than the latter, to which it is slurred 'legatissimo'" (p. 80). Thus for the first trill Klotz's solution is wrong by his own lights: instead of a 'legatissimo' resolution, calling for main-note start of the repercussions, there is a sharp interruption as a consequence of which any sense of resolution is obliterated. The second trill, so differently notated from the first, could for that very reason not be meant to be a near-replica and here, too, there is hardly a musically satisfactory alternative to a main note start. The Klotz solution that disfigures the soothing melody by cutting it on two spots and stutteringly repeating the A-flat four times is thus not only provably wrong, but musically objectionable.

3. The *Slide*

As a matter of course, the Bach slide is for Klotz a pure downbeat ornament: ("ein reines Initialornament") that starts in the time of the principal note and leads to the latter in strict *legatissimo* (p. 108).

Of the French clavecinists that supposedly determined Bach's clavier ornamentation, Klotz lists only two: D'Anglebert and Saint Lambert. Of D'Anglebert, who displays two downbeat and one upbeat models, Klotz picked predictably a downbeat model and fails to mention the upbeat variant. Saint Lambert's model is rhythmically noncommittal:



and more suggestive of upbeat than downbeat style, since the little notes are not presented as symbol but as the resolution of the symbol; and a resolution is not supposed to present puzzles; also in view of this master's decided advocacy of the prebeat style for all the *ports de voix*, Saint Lambert's model can hardly give support to Klotz's thesis. Klotz was apparently not aware that L'Affilard in 1694 and Loulié in 1696 spelled out the prebeat nature of the slide (see my Exx. 19.4 and 19.5); that Villeneuve in 1733, La Chapelle in 1737, and Denis in 1747 did the same (see my Exx. 12.10, 19.12b and c), that Grigny in the very *Organ Book* of 1690 that Bach copied repeatedly wrote the two little slide notes before the barline (see my Exx. 19.6a,b,c,d,f,g,h,i); that Siret in 1716, d'Agincourt in 1733, Villeneuve in 1733, Luc Marchand in 1749, and Azaïs in 1776 did the same (my Exx. 19.11 and 19.12).

Had he read my book he would have also known that in several instances Couperin's slide would produce blatant parallels if taken on the beat. Furthermore he would have known thirteen of my examples where Bach's slide would produce unacceptable parallels (Exx. 21.5 and 21.6). Klotz does mention that J.G. Walther, in his *Praecepta der Musikalischen Composition* of 1708 recommends anticipation of the slide (p. 112). He believes he can dismiss this piece of evidence by saying that it is not confirmed by the "classical" explanations, and that Walther did not return to it in his *Lexicon* of 1732. But neither did he show an onbeat pattern: he did not discuss the ornament in his *Lexicon* and the failure to do so does not imply a revocation of his earlier statement.

Klotz may have also been interested in seeing my documentation about the apparently general anticipation in Italy of the slide written with two equal little notes (my chapter 22). That C.P.E. Bach and his circle favored the downbeat slide was to be expected, but Klotz himself had very sensibly eliminated Philipp Emanuel as a reliable source for his father's ornamentation.

All other ornaments are similarly treated, similarly regimented, and there is no need to review them singly and in detail. The discussion so far should suffice to show that, all in all, the book is severely flawed to the point where it is not only misleading but indeed harmful with its dogmatic rigidity. There are the faulty premises that served as fundamental theses (as discussed at the outset); there is egregiously inadequate research that kept from the author and his public a vast amount of evidence that contradicts both theses and conclusions; and there is a method that, oblivious of beautiful statements about "freefloating figurations," crystallizes the pure abstractions of several select ornament tables into rigid shapes that become the law of execution. The combination of all these factors results in prescriptions that totally subvert the very function of embellishment by creating, instead of variety, monotony through the insertion of ornaments like the mentioned prefabricated spare parts, and the limitation of every ornament to the vertical role of reinforcing the beat and depriving it from the horizontal potential of embellishing the melody; and worst of all, by hardening through rigorism, instead of softening through flexibility.

Case History 2: Faye Ferguson on Mozart

The second case history differs from the first in several ways. First, it refers not to a book, but to a review of a book.¹¹ Second, it exhibits in parts at least, different aspects of the interpretation problem for ornament symbols. Next to injudicious applications of ornament tables, which overlap with the case of Klotz, we find a variety of other arguments in a handful of cases where Ferguson tries to condemn my performance suggestions and to advance alternate solutions. I shall attempt a critical analysis of her line of reasoning with a view to shed some light on what arguments are legitimate in favoring a certain solution and which are not.

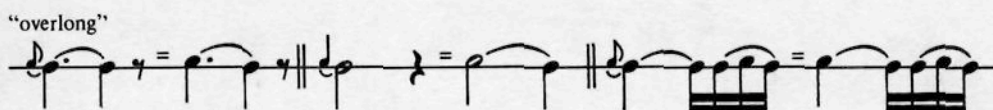
Ferguson's review starts inauspiciously by questioning my competence. This is somewhat strange in view of the fact that she is a newcomer in the field, not having, to my knowledge, so far published a single line on matters of ornamentation, whereas I have written on this subject two major books and numerous articles. She quotes me as writing "whatever weight we may ascribe to the theorists, we have to resort to musical evidence to get a direct bearing on Mozart's music [...] We can gather important information from internal evidence that is based on musical logic (or just plain *musical common sense*)."

To this she answers: "While the proposition itself is attractive, it presupposes a high level of competence on the part of the musical analyst. *Where this competence is lacking*, [italics mine] the analyst is likely to arrive at solutions that fly in the face of both theory and *musical common sense*." Here we have two distinct types of "musical common sense": the first that guided some of my judgments and that, owing to my incompetence, is defective and flies in the face of the second, superior "musical common sense" as possessed by Ferguson, that is to serve as a valid yardstick for condemning my suggestions and solutions. I submit that the questioning of my competence and of my musical common sense is an *argumentum ad hominem* that, as all arguments of this type — considered indefensible infractions of scholarly mores — cannot be disproved and can only be pilloried.

Ferguson then criticizes a few of my ornament analyses (four appoggiaturas and one turn) on the basis of which she feels entitled to condemn the whole book (that deals of course with many more subjects and with hundreds of examples). It will be instructive to look at her comments for the variety and the types of arguments presented.

11. Faye Ferguson, "Frederick Neumann: Ornamentation and Improvisation in Mozart, Princeton, 1986." *Mozart-Jahrbuch* 1986, Kassel, 1987, pp. 243-49.

Many German theorists after 1750 formulate the rule that an appoggiatura lasts one half of a binary, two thirds of a ternary note. A few of them, among them Quantz, C.P.E. Bach and L. Mozart, supplement this principle by another rule about an "overlong" appoggiatura that takes the *whole* value of the principal note if the latter is followed by either a tie or a rest. Ferguson quotes me listing this rule and the pattern:



She comments: "a dozen pages later he has forgotten this pattern in connection with an example he quotes from "Die Zauberflöte..." *Far from forgotten, I had disproved the use of this pattern for Mozart. In his vocal music Mozart frequently wrote an appoggiatura symbol for the voice, but spelled the grace out in regular notes for an attending unison instrument. In this manner he provided in very numerous cases a clear solution to the intended rendition. In a very extensive search I found out, and have documented in the book, that Mozart followed the "half-binary" rule only for appoggiaturas before relatively short (a quarter-note or less) principal notes; that he did *not* honor the "two thirds of a ternary" rule; that with regard to the "overlong" pattern I had found only two instances out of countless thousands that would apply to a rest (after a principal note of a quarter-note length) and *not a single one* that would apply to a tie. This is the kind of internal evidence that tells us what Mozart used and thereby qualifies and often nullifies the rules of the theorists.*

As to the illustration from the "Zauberflöte" (given here in Ex. 4a) where I supposedly "forgot" the overlong rule of some theorists, Ferguson quotes me as saying that ". . . the *Neue Mozart-Ausgabe* [hereafter: *NMA*] gives the interpretation of *b* to honor the 'Vorschlag' denomination, but since the rest suggests a breathing spot for the singer, the rendition of *c* seems more likely [p. 19]."

Ex. 4. K620 I,3

a. [Larghetto]

b. *NMA* c. FN

Tamino

und e- wig wä- re sie dann mein und e- mein und mein und

Strings

Ferguson, who wishes to vindicate the *NMA* solution, counters that my suggestion not only "bypasses the theorists, it bypasses clear musical evidence." Her argument that is to provide the "clear evidence" is unusual. She points to the orchestral strings that hold a chord through the third eighth-note. "If" she writes "the voice abides by the theorists' [overlong] rule, it fills the measure along with the accompanying instruments; if it clips the phrase, it permits the orchestra to have, so to speak, the last word. The version of the *NMA* is therefore not only historically correct, it also makes good musical sense." Ferguson seems to have discovered a law that voice and accompaniment have to be synchronized, or else either the orchestra or the voice would have "the last word" and that her "musical sense" apparently judges to be unacceptable. If such a law existed we would have to rewrite all of Mozart's vocal works. Moreover, she has a problem with the first violin part: the same kind of appoggiatura precedes for the voice a quarter-note, for the violin a dotted quarter-note, and the voice sings again on the fourth eighth-note, the violin is silent. When Mozart writes different rhythms for two parts, he obviously intended a different execution, but Ferguson's argument calls for equalization of the two parts and to achieve the latter she resorts to an extraordinary device: she applies one rule for the voice, another for the violins: the vocal appoggiatura goes by the "overlong" rule, the violin appoggiatura goes (with full citation of C.P.E. Bach's precept) by the two thirds of a ternary note rule (though it too, being followed by a rest, would be eligible for the "overlong" rule). No greater tribute can be paid to the authority of the "theorists" than that of applying two of their — conflicting — rules simultaneously. It so happens that neither rule is pertinent to Mozart.

Ferguson's next argument is also unusual. Concerning a passage from the same aria (Ex. 5a) she quotes me as saying that the first appoggiatura should have about a 16th-note length, and that for the second one "the intensification inherent in the repeat on a higher pitch level would, independently of denomination, entitle the singer to lengthen the appoggiatura at his discretion beyond a 16th-note value. . . ."

Ex. 5.

a. Ibid

Tamino

mein Herz mit neu-er Re-gung

füllt mein Herz mit neu-er Re-gung füllt

b. Ibid.

Vn. I

Die Lie-be ist's al-lein

Tamino

c. 2nd Finale (Andante)

Vn. I

Macht froh durch des To-[des]

Pamina

Ferguson then points to a parallel spot in the aria (mm. 53 and 56) where the appoggiaturas (here written as 16th-notes) are set to the syllable "wä-[re]." Mozart was often casual about the denomination of the little notes, and often mingled indiscriminately quarters with eighths or eighths with sixteenths (as in our case). Thus, in m. 27 of this aria, as shown in Ex. 5b, he wrote the downward leaping appoggiatura as an eighth-note for the voice, as a 16th for the unison first violins; in the second Finale, as shown in Ex. c, Pamina has a quarter-note, the unison violins an 8th-note appoggiatura; in the first measures of "Das Veilchen" he wrote the

Vorschläge as eighth-notes; in the autograph Index of his works¹² he wrote them as sixteenths. Clearly, their meaning could be, and often was, the same. But Ferguson sees significance in the difference and speculates that in the first of the two parallel phrases in Tamino's aria (Ex. 5a) the "more open syllable 'neu-'" calls for a long appoggiatura, whereas in the second phrase the "more closed syllable 'wä-[re]'" should not be prolonged. Here she ran afoul of elementary German diction: the syllable "wä-[re]" is not short and closed, but long and open! As such it is rather more suitable to support a long appoggiatura than the syllable "neu-" (pronounced "noy"), where the sound that matters for the appoggiatura is not the diphthong but the *short* "o" sound. However, guided by *her* idea of German diction she concludes that "the prolongation of the former ["neu-"], of course, supports the theorists' *overlong* [italics mine] prescription." Here she manages to confuse the rules of her much flaunted "theorists": what she had in mind is not the "overlong" prescription but the "two-thirds-of-a-ternary-note" rule. First with the help of faulty diction she postulates the extended appoggiatura, which, in a neat circle, is in turn to prove, alas, the *wrong* rule. It is indeed a Comedy of Errors.

Her next argument is still more remarkable. It deals with the String Quartet in D, K575 and Ferguson quotes me as writing:

An interesting document shows Mozart's flexibility regarding the denominations [of *Vorschläge*]. In the autograph of the String Quartet in D, K575, the first theme, in its many appearances, is always notated as shown in Ex. [6a]. In the autograph "Index [Verzeichnüss] of all my works" Mozart wrote, almost certainly from memory, the "incipit" as shown in Ex. b. In the third measure he made a mistake. Probably he wrote a half-note instead of a whole note for the first violin, but with all notes stemmed upward, it is barely possible that the quarter-note a" was not a symbol but a regular note, in which case he forgot to dot the half-note. In either case we have a discrepancy with the regular notation with longer values for the appoggiaturas, which in turn confirms the idea that we need not feel confined by the symbols' denominations.

12. *Verzeichnüss aller meiner Werke vom Monath Febrario 1784 bis Monath... [November 1781]*. MS at British Library. Facs. Vienna, 1938; New York, 1956.

Ex. 6. K575/1

a.



b.



c.



In this particular case [the quote from my book continues] the solution suggested by the *NMA* follows the value of the symbols, but it seems to me that more flexibility is desirable. I would suggest dwelling a little longer on the first, rather strongly affective appoggiatura, whereas the second and third *Vorschläge* have more the nature of passing notes with a linking function of '*tierces coulées*' that does not call for emphasis. One of several possibilities is shown in Ex. 6c, which in turn can always be varied slightly within the same general character [p. 33].

To this Ferguson first remarks: "Neumann fails either to notice or to report that the incipit in Mozart's *Verzeichnüss*" differs in many details from the version of the autograph score." This reproach is most peculiar inasmuch as the whole paragraph she quoted is focused on the difference between autograph and index. But this is only a needle prick; the sword thrust is directed at my suggestion to play the first appoggiatura "a little longer" as roughly intimated by a dotted 8th-note in Ex. c ("perhaps" I wrote there). Ferguson writes: "By 'dwelling a little longer' on the first appoggiatura in m. 3, *one runs the risk* [italics mine] of introducing covered octaves between the two violins, should they land at the same time on the octave $g' + g'$... a solution which would be rejected by performers of even limited experience." Not that my suggested solution would create the octaves, but *if* a violinist were to play the appoggiatura for the exact length of a quarter-note, (something I have never proposed), *then* octaves would result; they would be offensive even to beginners, but, so she hints, not to me. This convoluted thought process,

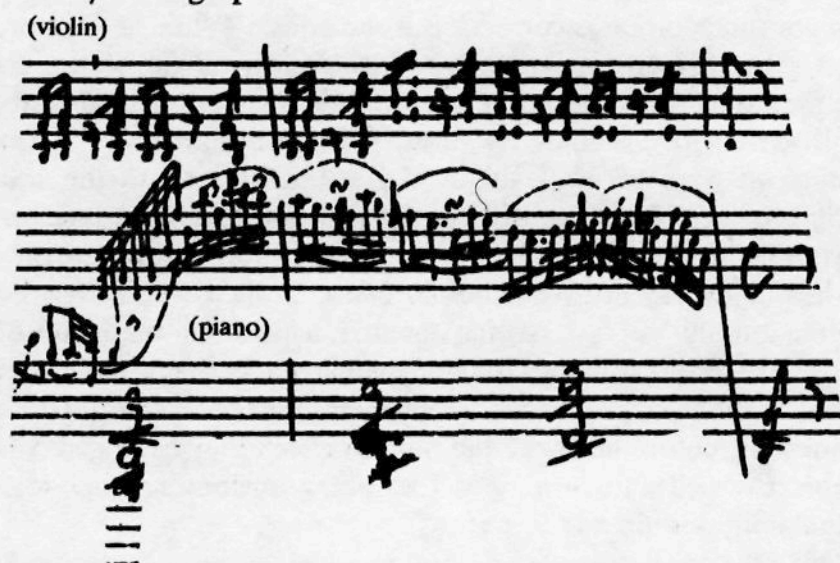
meant to condemn my performance suggestion is, I submit, not an argument, but a deceit: by distorting a directive, almost any suggestion can be twisted into irrationality.

This exercise in demagoguery has a worthy sequel in an extraordinary statement. Mozart's autograph Index is on a few occasions inexact about the date and is often inexact in the rendition of the incipits. On that basis Ferguson proclaims that "in no case can it [the Index] be used as a [my words:] 'document [which] shows Mozart's flexibility regarding the denominations [of *Vorschläge*].'" What Mozart writes, she decrees, is irrelevant, indeed unusable. If we want to appreciate the profundity of this nonsense, we should consider what exactly we are after when we search for historically correct, or as it is now fashionable to say, "authentic" performances. What matters, or what ought to matter above everything is the composer's idea of the work. Everything else is only peripheral. Now it is precisely the discrepancies of the index entries from the original that provide us a priceless glimpse at the way Mozart thought of his work when, after finishing it, he recalled its start. Painstaking precision would have provided no new performance clues. But the discrepancies do, because they add, as it were, a new triangulation point for getting better bearings on Mozart's ideas. Thus, when he gives the tempo of the Figaro Overture as "allegro vivace" instead of "presto" we have a further reason — in addition to the mostly overlooked C meter — to find fault with the breakneck speed favored by most conductors. When in the String Quartet in F K590 the Index has in the second measure a "sf" instead of a forte, while the forte starts in mid-measure with the descending scale; and when furthermore a ¢ replaces the C of the original, we get a more vivid picture of Mozart's idea of this opening than the autograph provided. We gather that, on second thought, Mozart conceived of a more ingeniously differentiated dynamic shading for the initial motive; and moreover that he wished the tempo to be felt not in four but in two beats. When in "Das Veilchen," as noted before, the index has 16th-note instead of 8th-note *Vorschläge* and when, by contrast, in our example of the String Quartet K575 it has 8th-notes instead of 16th-notes, we have a right to infer that the denominations can be interchangeable and that an insistence (like Ferguson's with her "ä" and "eu" argument) on their literal meaning can be misleading. The Index is a treasure trove of fascinating glimpses into Mozart's thought processes and notational habits.¹³ The statement that "in no case" must the Index be used for such a purpose, is at best grossly misguided.

13. In an article (on Handel) in *Early Music*, August, 1986, I listed in note 3 (p. 406) a number of discrepancies in the Index that provide important performance clues. Far more needs to be done in this matter.

To provide some variety from *appoggiatura* agonies, Ferguson takes me to task for misinterpreting two of Mozart's turn symbols from the Violin-Piano Sonata in B flat, K454, shown in Ex. 7 in the facsimile of the autograph (giving the violin part on the top stave and the piano on the two lower staves).¹⁴

Ex. 7. K454/1 autograph



In this passage the *NMA* had mistakenly placed the turn symbol above the first of the 32d-notes instead of after the dotted 8th-note. Anybody who has seen just a few of Mozart's autographs and who has an open mind will agree that certainly the first of these signs belongs between the notes, hence has the well-known meaning of a turn that follows the more or less extended sound of the principal note. And if the first of these turns conveys this unmistakable graphic message, the second turn, as a sequential figure, has to follow suit. That here the symbol might give the impression of being placed above the first 32d-note has a very good reason. In his excellent preface to the facsimile edition¹⁵ Eduard Melkus recounts the famous story of this Sonata, which Mozart wrote literally in the last minute for a concert he gave with the violinist Strinasacchi. Pressed for time he wrote in the score first the complete violin part (both performers played from the same music) and sketched in fragments of the piano part, which, as suggested by different ink, he finished at a later date. Since the violin part determined the disposition of the barlines, the piano part had to be fitted in, forcing occasionally extraordinary

14. This example is reprinted by kind permission of the Stiftelsen Musikkulturens Fraemjande, Stockholm, and of the Kungl. Musikaliska Akademien, also in Stockholm.

15. *Sonat för cembalo och violin av W.A. Mozart*, facs. ed., Stockholm, 1982.